



State of Connecticut

Influenza Pandemic CONTINUITY OF OPERATIONS PLANNING



... A key gear in a
comprehensive pandemic
response mechanism

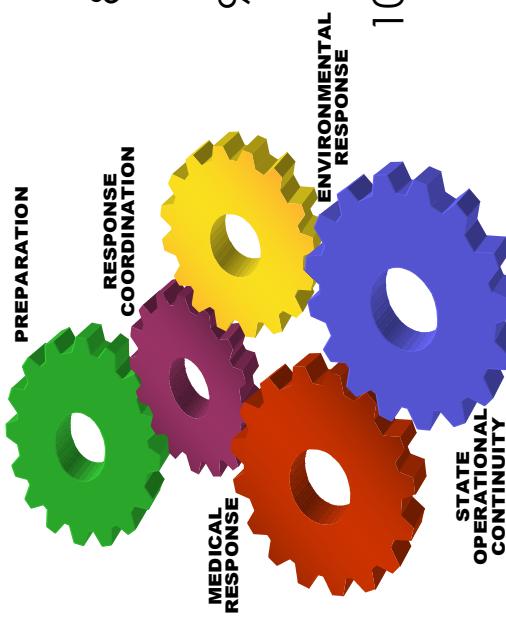
TRAINING SESSION FOUR

January 8, 2007





These are the AGENDA items for today's session:



PREPARATION	8:30 – 9:00	Pick up General Session Materials (MCC Rotunda)
GENERAL SESSION (SBC Charitable Foundation Auditorium)	9:00 – 10:30	
Facilitated Group Sessions (Assigned Classrooms*)	10:30 – Noon	
	- - -	- - - Lunch Break - - -
	1:00 – 4:00	Facilitated Group Sessions (Assigned Classrooms)
	4:00 – 5:00	General Session (SBCCF Auditorium)
	5:00	Adjournment

Note: Each Agency has been assigned to a specific classroom and is expected to work together as a team during the Facilitated Group Sessions. There will be a mid-morning and a mid-afternoon break.



By the end of today's session, you should be able to:

- Recognize the potential threat to our communities and government in the event of an Influenza Pandemic
- Understand the Connecticut Continuity of Operations Planning effort required of all Agencies by Governor Rell and the COOP Training Support Program being offered by the Governor's Pandemic Inter-Agency Task Force
- See where COOP efforts fit into the larger Influenza Pandemic Response program
- Accept your roles and responsibilities as Logistics Section Chiefs and Operations Section Team Leads
- Identify contingency strategies for your location's business functions and services and then:
 - Select strategies appropriate to each function's resource requirements and priority
 - Outline an implementation plan for these strategies
 - Document and pursue cooperative strategies with other Agencies
 - Execute the steps to complete your COOP template
 - Prepare to participate in the state-wide influenza pandemic functional simulation exercise to validate your COOP preparations



Why should we prepare for an Influenza Pandemic?

- Evidence of former Pandemics (1918 – Spanish Flu Pandemic)
- Recent events: HIV/AIDS, SARS and now the **Avian Flu Virus H5N1**
 - Avian Influenza normally **infects waterfowl** and can be **transmitted to commercial poultry**, particularly chickens and turkeys, by migrating birds
 - H5N1 is of particular concern because it **adapts rapidly** and can mutate to infect humans with a particular virulent and deadly strain
 - A pandemic is a global disease outbreak. An influenza pandemic occurs when a new influenza A virus emerges for which there is little or no immunity in the human population, begins to cause serious illness, and then spreads easily person-to-person worldwide
 - H5N1 has evidenced a **very high mortality rate** (>50% in reported cases) and it affects healthy **young adults**, the strongest among us, with higher frequency and greater impact than a typical flu
- CDC, Federal Department of Homeland Security preparations and mandates to the states
- Secretary Michael Leavitt and Governor Rell summit and agreement
- Governor Rell mandate for Agency Pandemic Continuity of Operation Plans by year-end 2006



What are the WHO Pandemic Alert Phase Definitions?

Interpandemic Period

1. No influenza sub-type present with risk to humans
2. No influenza in humans but an animal strain with potential risk to humans has been identified

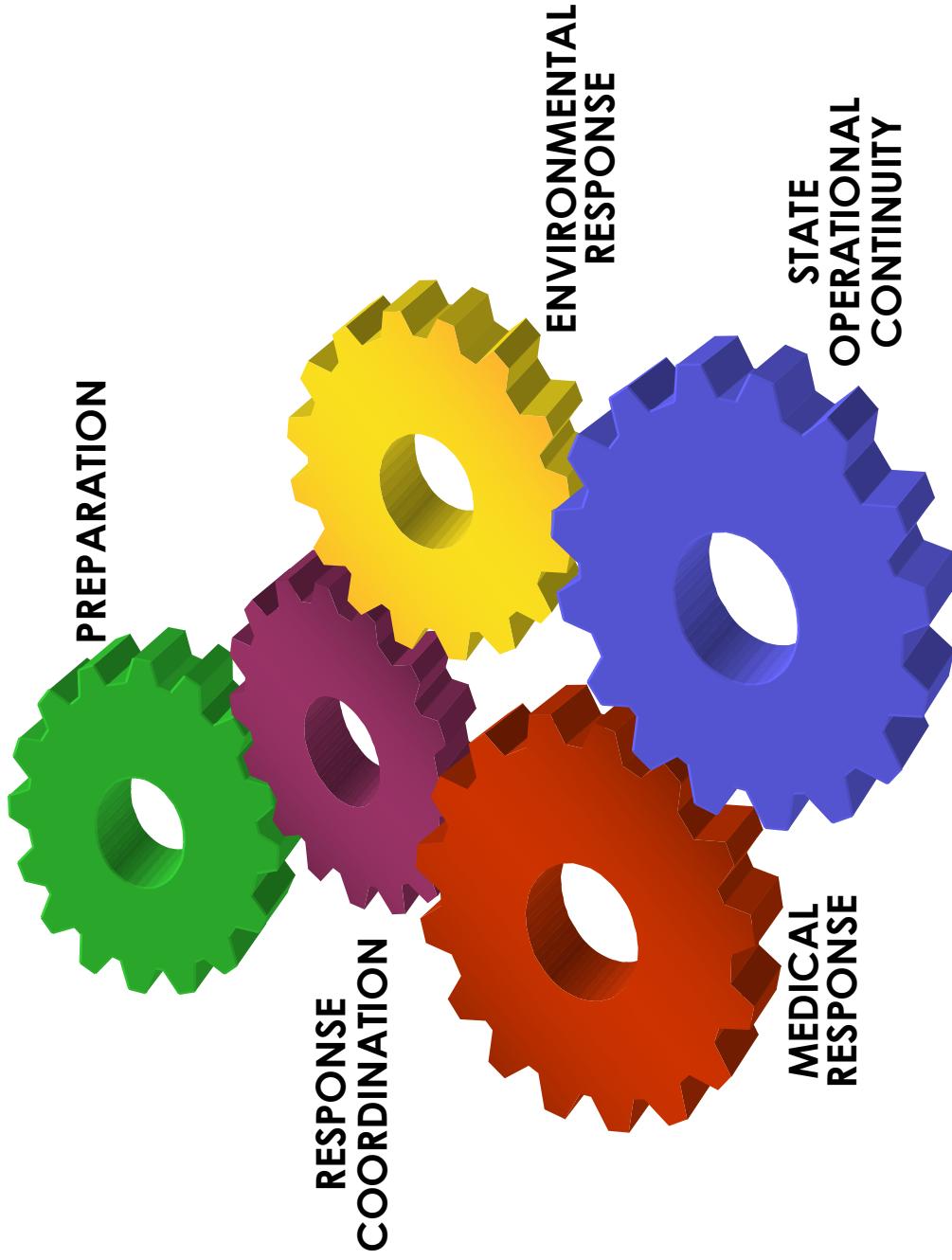
Pandemic Alert Period

3. Human infections from direct animal contact; no, or very limited, human-to-human transmittal
► **HIGHEST LEVEL TO PRESENT**
4. Very small clusters of human infection; virus unable to transmit efficiently between humans
5. Larger clusters but still localized; virus is becoming more efficient
6. Increased and sustained transmission in the general population

Pandemic Period



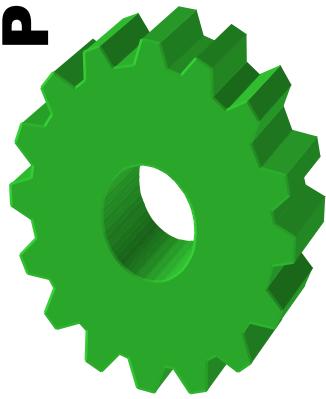
What is the BIG PICTURE in Pandemic Preparation and Response Planning?





Advance preparations will enable effective response.

PREPARATION



- ***Emergency Authorities, Policy and Procedure***

- ***Education***

- ***Stockpiling***

- ***Cross Training***

- ***Etc.***

Key Players:

- ***Policy and Procedure (DPH, DEMHS, DAS, OLR, AG, DEP, OSC)***

- ***Education***

- ***Preparation – DPH, DEMHS, DOAG, DEP***

- ***Delivery – all Agencies / Human Resources / Safety***

- ***Stockpiling (Agencies)***

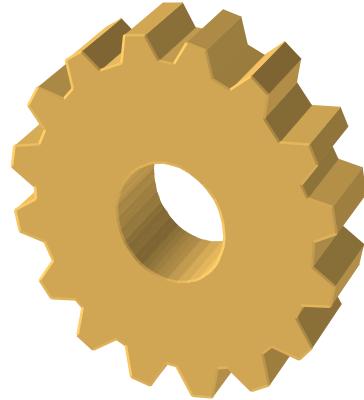
- ***Cross Training (Agencies)***

- ***Etc.***



When H5N1 appears in Connecticut poultry or wild birds, these must be isolated and destroyed.

ENVIRONMENTAL RESPONSE



- **Bird Euthanasia**
- **Bird Removal**
- **Monitoring**
- **Farm Interface**
- **Etc.**

Key Players:

- **Farm Policy – DOAG**
- **Clean Up Procedure – DEP**
- **Education**
- **Poultry Industry – DPH / DOAG**
- **Citizens / Birders, etc. -- DPH**
- **Etc.**



The serious business of caring for a sick population and limiting the spread of influenza in Connecticut is a foundation effort of the Pandemic Response.



- **Monitoring**
- **Treatment**
- **Social Distancing & Quarantine**
- **Anti-Virals, Vaccine & Medical Supply Dissemination**
- **Triage**
- **Mass Fatality Mgmt.**
- **Death Certificates**

Key Players*:

- **Tracking Illness in US – CDC, Federal DHS**
- **Tracking Illness in Connecticut – DPH, DAS, Medical Facilities (public and private), DEMHS**
- **Oversight of Medical Response (Prevention, Treatment) - DPH**
- **Oversight of Social Distancing and Quarantine – DPH, DPS**
- **Oversight of Logistical Support (Movement of People and Materials, Establishing Emergency Facilities - Field Hospitals, Execution of Eminent Domain Decisions) – DEMHS/EOC, DOT, DPW, OPM, DPS, OSC**

*local entities will participate in all these transactions



Mission critical State services are to be sustained.



**STATE WIDE SERVICES
OPERATIONAL
CONTINUITY**

- *Continuity of High Priority Functions*
- *Mutual Aid*
- *Cross-Agency Communication*
- *Triage*

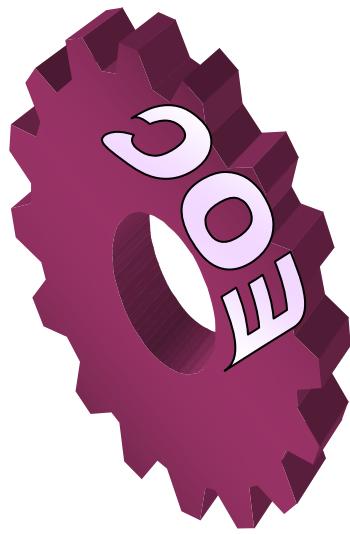
Key Players:

- *Tracking Agency Status – DAS, DEMHS / EOC, DOIT*
- *Executing COOP Plans – each Agency*
 - *Priority 1: Uninterruptible Functions (RTO* < 1 Day)*
 - *Priority 2: Critical Functions (RTO ≥ 2 - 5 Days)*
 - *Priority 3: Ongoing Functions (RTO ≥ 1 - 2 Weeks)*
 - *Priority 4: Periodic Functions (RTO = 2 - 4 Weeks)*
 - *Priority 5: Occasional Functions (RTO> 1 month)*
- **“Ramping Down” or suspending functions on a priority basis when minimal service levels can no longer be achieved**
- **Seeking / Employing Emergency Authorities, Processes and Procedures as required per plan**

RTO = Recovery Time Objective; allowable time a function may be suspended without serious consequence.



Role of the EOC in a Pandemic



RESPONSE COORDINATION

- *Oversee State-wide Response*
- *Interface with National Resources*
- *Facilitate Resource Acquisition and Reallocation*
- *Triage*

Key Players:

- **DEMHS / EOC**
- *Agency EOC LIAISONS*
- *Office of the Governor*
- *Agency Incident Commanders*
- *Agency Public Information Officers*



What Pandemic Planning Assumptions should we make?

1. Staff levels may be significantly impacted due to high levels of illness
 - prepare for 10%, 20%, 30%, 40% or more loss of normal staff
2. Remaining workers may be psychologically affected by disease, economic concerns, or fear and require employee assistance
3. Staff may be reduced by the need for some workers to attend to family illness or children remaining home due to school closures
4. Human resource reductions may be temporary or may be long term depending on the severity of the influenza strain
5. Staff may be lost forever due to significant mortality associated with the disease
6. These staffing factors may affect suppliers, providers and other business partners, rendering them unable to meet commitments

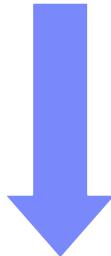


These elements comprise the COOP Training Program

Session One: Friday, October 27 (9-11)

Session Two: Wednesday, November 15 (1-5)

Session Three: Wednesday, December 13 (8-Noon)

Session Four: Monday, January 8 (9-5) 

- All sessions will include in-session training and exercises, as well as homework to prepare for follow on sessions.
- A COOP Plan Template will be provided*

Functional Simulation Exercise: Wednesday, February 28 (9-4)

* Those HIPAA-affected agencies with existing BCP documents will be provided instructions on how to integrate Pandemic COOP elements within these plans. Agencies that have completed the Pandemic templates issued in June 2006 will also be instructed on the integration of those templates into the comprehensive COOP Plan Template.



Session Four: Detailing Processes, Resources, Strategies

Topics Covered:

1. Reviewing Session 2 Follow-Up Assignments
2. Selecting Contingency Strategies for Critical Functions
3. Documenting Strategy Implementation Plans
4. Outlining Status Reporting and Communication Protocols
5. Overview of the COOP template

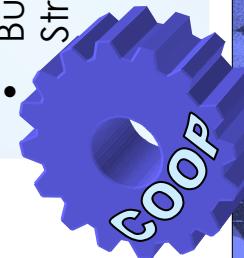
Working Sessions

Each Agency Operations Section will be reviewing/completing documentation of:

- Priority 1 / Priority 2 Functions
- Their key discrete Processes
- Resources needed to operate

And then:

- Developing Strategies to ensure their Continuity
- Building a Work Plan to make these Strategies Executable when needed



Products:

1. Preliminary Continuity Plan Sections for Priority 1 & 2 Functions to include in the COOP Template
2. Work Plan to prepare these Strategies for Execution

Participants:

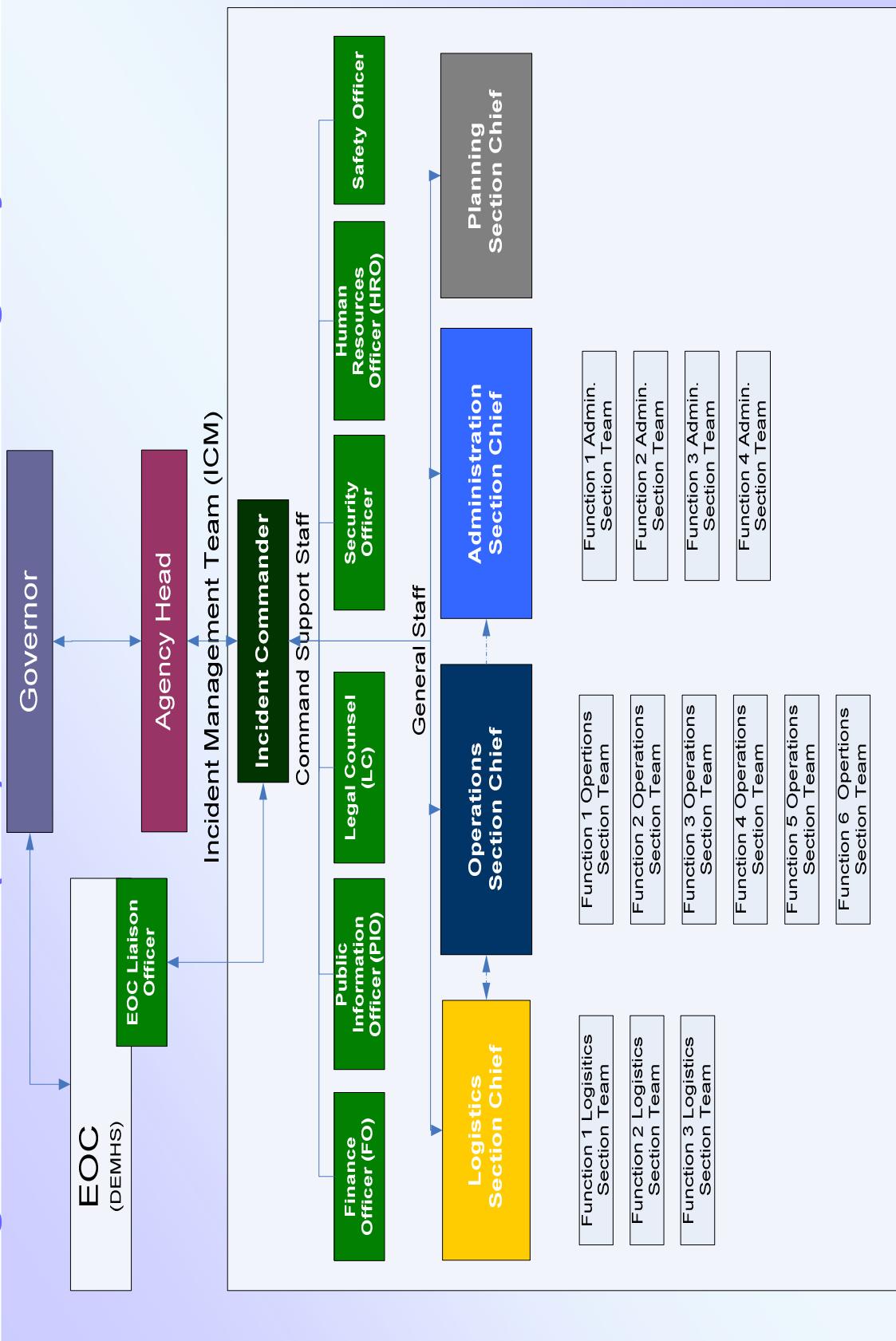
1. Operations Section Chiefs and Deputies
2. Operations Section Team Leads of Priority 1 and Priority 2 Functions and Deputies
3. Logistics Section Chiefs and Deputies
4. Planning Section Chiefs and Deputies

COOP Development Assignment:

1. Execute Implementation Work Plan
2. Develop and document COOP plans for Pandemic Response Capability
3. Complete the COOP Template
4. Prepare for the Simulation Exercise

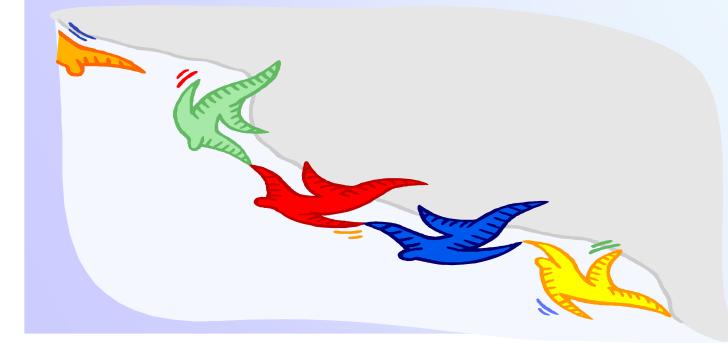


Below is a representation of the State's Incident Management Team (IMT) structure for an Agency.

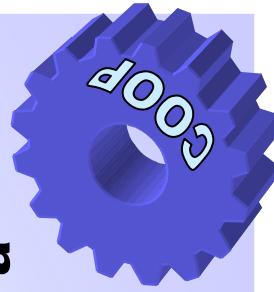




The Incident Management Team leads a response to any critical business disruption situation, including Pandemic.



INCIDENT MANAGEMENT TEAM (IMT):
The Incident Commander, appropriate Command Support Staff personnel and General Staff, including the Section Chiefs assigned to the incident. In the context of the Continuity of Operations Plan, the IMT focuses on preparing for possible incidents, including a Pandemic, and resolving the incident while resuming or sustaining business functions in an orderly manner, addressing critical functions on a priority basis.





The Incident Commander leads the team and reports to the Commissioner



INCIDENT COMMANDER (IC):

The individual **responsible for all incident activities**, including the development of strategies and tactics before and in response to an incident and the ordering and the release of resources.

The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

In the context of the Continuity of Operations Plans, the Incident Commander reports to the Commissioner or equivalent agency executive position. One or more Deputies are recommended.



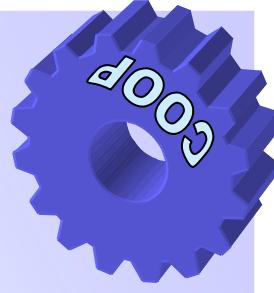


The DEPUTY or ALTERNATE position is required for all Incident Management Team leaders.

DEPUTY (aka, ALTERNATE):

A fully qualified individual who, in the absence of a superior, can be delegated the authority to manage a functional operation or perform a specific task.

In some cases, a deputy can act as relief for a superior and, therefore, must be fully qualified in the position. Deputies can be assigned to the Incident Commander, Command Support Staff and the Section Chief positions.





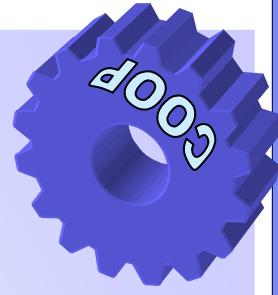
General Staff: The Planning Section Chief will compile the plan and own the document going forward.



PLANNING SECTION CHIEF (PSC).

Member of the Incident Command General Staff and leader of the Planning Section, which in the context of the Continuity of Operations Program, is **responsible for the development of the COOP document**, working closely with the Incident Commander, General Staff (other Section Chiefs) and Command Support Staff to ensure critical functions and their resource requirements are identified, that preparatory actions are taken and that communications information needed to execute the COOP has been captured.

In the response period, **the Planning Section Chief is to serve as a COACH** to Incident Command and to ensure that regular crisis response sessions are held, that outstanding issues are identified, that appropriate alternatives are considered and that action assignments are clearly distributed. Planning Section Chief may have one or more Deputies, who are qualified to assume these responsibilities. This is recommended where multiple shifts are needed, as well as for succession planning.

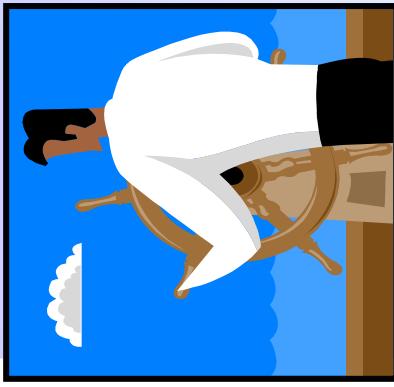




General Staff: The Operations Section Chief oversees the sustenance or resumption of priority business functions.

OPERATIONS SECTION CHIEF (OSC).

Member of the Incident Command General Staff and leader of the Operations Section, which is responsible for the **sustenance or recovery of the functions** within the agency that serve the citizens of the state.



The Operations Section Chief **directly manages all incident tactical activities and implements the Incident Action Plan (IAP)**. The Operations Section Chief may have one or more Deputies, who are qualified to assume these responsibilities. This is recommended where multiple shifts are needed, as well as for succession planning.





General Staff: The Operations Section Team Leads direct the continuity of Agency specific priority functions and services.

OPERATIONS SECTION Team Leads

Qualified member of the Incident Command General Staff reporting to the Operation Section Chief and coordinating the initial response and recovery efforts of the team. Teams are based on work units (typically by location, division/section).



In the context of the Continuity of Operations, the Section Team Leaders are responsible for:

- **pre-disaster** preparedness,
- **disaster** response coordination and
- **post-disaster** corrective action based on lessons learned for the functions that are part of the normal operational responsibilities of the work group.





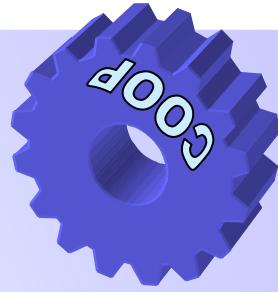
General Staff: The Logistics Section Chief oversees the movement of people and materials and technology deployment.



LOGISTICS SECTION CHIEF (LSC).

Member of the Incident Command General Staff and leader of the Logistics Section, which in the context of the Continuity of Operations Program, is **responsible for the resources and processes needed to sustain or recreate the work environment for Operations and Administration Section functions, including facility, technology, equipment and supplies.**

The Logistics Section Chief addresses **plant, tool, technology and information security** (including HIPAA) requirements for the Incident Command, working closely with the Operations and Administration Sections to identify requirements and assess available options.

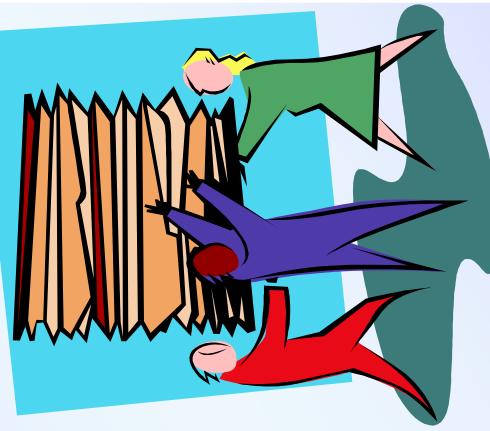




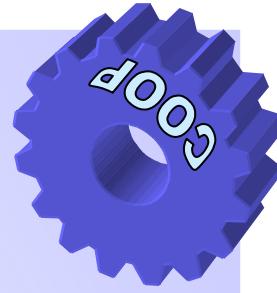
General Staff: The Administration Section Chief oversees internal facing processes and financial controls.

ADMINISTRATION SECTION CHIEF (ASC).

Member of the Incident Command General Staff and leader of the Administration Section, which in the context of the Continuity of Operations Program, is responsible for internal processes within the Agency, including **financial and human resource functions**, which are necessary to enable the critical functions being addressed by the Operations Section.



The Administration Section sustains or recovers processes to maintain the **fiscal integrity** of the Agency and **ensure that essential human resource processes are sustained**. The Administration Section Chief works closely with the Operations and Logistics Sections to identify requirements and assess available options.

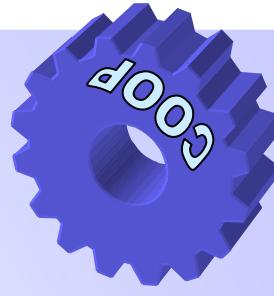
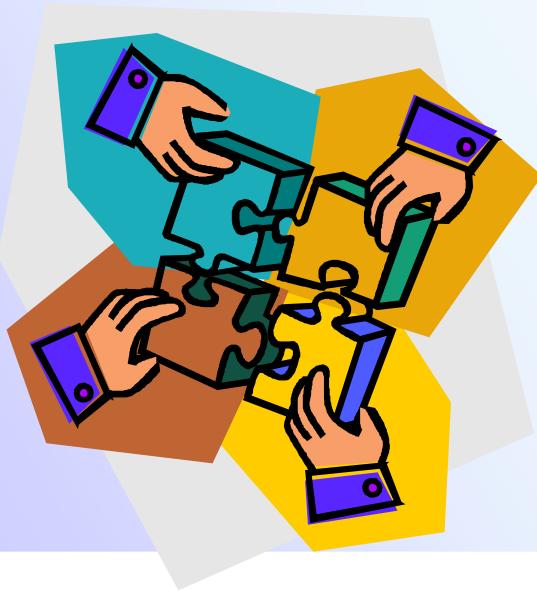




Command Support Staff counsels the IMT in matters requiring professional expertise.

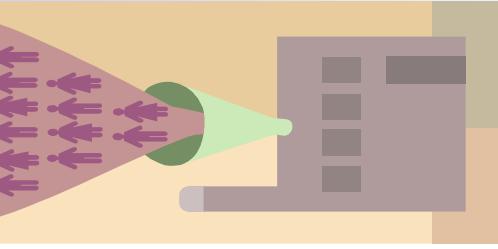
COMMAND SUPPORT STAFF:

In an incident management team organization, the Command Support Staff consists of **special staff positions** including the Public Information Officer, Safety Officer, Human Resources Officer, Finance Officer, Legal Counsel and EOC Liaison Officer and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.





Command Support Staff: The Human Resources Officer advises on personnel matters.



HUMAN RESOURCES OFFICER (HRO):

Member of the Incident Command Support Team, or Business Continuity Management Team, who **provides human resources advice and counsel** to the Incident Commander. Examples of support would include development of plans to assist employees affected by the incident and guidance on union or bargaining unit issues raised by the incident or requirements to respond to the incident.

The HRO will have a COOP relationship with DAS and OLR and may assume some of the Safety Officer responsibilities





Command Support Staff: The Finance Officer provides financial management discipline support to the IMT.



FINANCE OFFICER (FO):

Member of the Incident Command Support Team who provides financial planning and management support to the Incident Commander.

Examples of support would include arrangements for emergency funding, financial analysis, financial record keeping, cash management and financial reporting. The FO will have a COOP relationship with DAS and OPM.



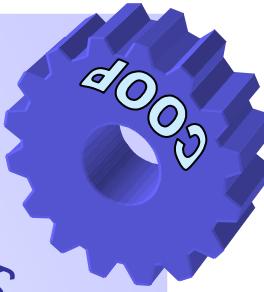


Command Support Staff: The Legal Counsel provides advice and counsel in matters of contract and statute.

LEGAL COUNSEL (LC):

Member of the Incident Command Support Team who provides legal counsel to the Incident Commander. Examples of support would include **advice relative to Agency jurisdiction and contractual obligations**. The LC may also be asked to review any public statements that are to be issued by the Public Information Officer (PIO) or provide opinion and guidance on employee relations based issues or issues that relate to the Agency mission and the public.

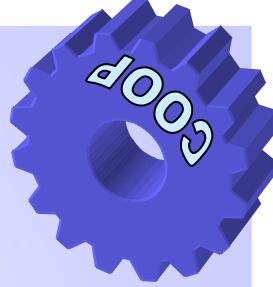
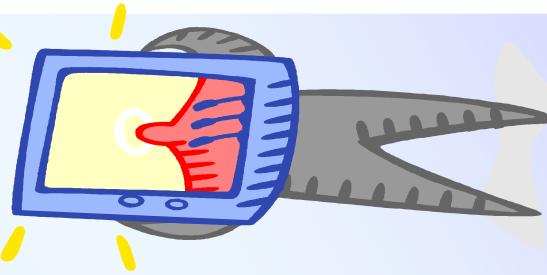
The LC will have a COOP relationship with the Attorney General's Office.



Command Support Staff: The Public Information Officer is the public face of the Agency in time of crisis.

PUBLIC INFORMATION OFFICER (PIO).

Member of the Incident Command Team who is responsible for drafting and issuing all public announcements, making all press releases and giving all interviews with the communications media relative to the incident and the Agency's response.



The PIO establishes **communications with PIOs in other State Agencies and the Governor's Media Office** to convey situation status, progress toward resolving the incident and any actions needed in support of or in response to the situation. The PIO works directly with the Incident Commander (IC) and Commissioner on all sensitive communications and may seek advice and counsel from other members of the Command Support Staff on legal or personnel matters and from the Section Chiefs on background relating to the situation and the response the Agency is making.



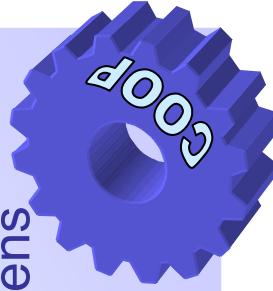
Command Support Staff: The Safety Officer is to focus on the health and well being of staff and visitors.

SAFETY OFFICER.

Member of the Incident Command Support Team, who is responsible for the **health and medical safety of response personnel**.

In the context of the Continuity of Operations Plan, the Safety Officer is to advise on steps to reduce the exposure of staff to pathogens and to make reports and recommendations to and receive and address recommendations from the Department of Public Health.

This role is not expected in all Agency COOP's; it is appropriate for those Agencies that are responsible for residential care of or that must physically interact with citizens of the State.



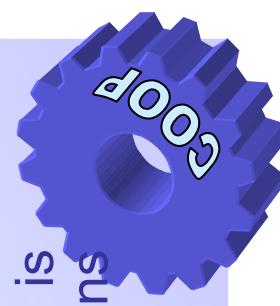


Command Support Staff: The Security Officer is to focus on the health and well being of staff and visitors.

SECURITY OFFICER.

Member of the Incident Command Support Team responsible for the physical security of response personnel and citizens within the custody of the Agency.

In the context of the Continuity of Operations Plan, the Security Officer is to advise on steps to protect staff and residents / clients from unintended or malicious activities that may cause injury or death and to make reports and recommendations to and receive and address recommendations from the State Police, as appropriate to the incident.



This role is not expected in all Agency COOP's; it is appropriate for those Agencies that have custody of citizens of the State.



Command Support Staff: The EOC LIAISON is the bridge between the Agency IMT and the State Emergency Operations Center.



EOC Liaison Officer:

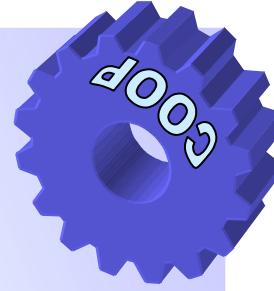
Member of the Incident Command Support Team who provides a **liaison between the Agency** and the State's Department of Emergency Management and Homeland Security (**DEMHS**) Department, especially when DEMHS has elected to activate its Emergency Operations Center (EOC).

A close working relationship between the Agency and the EOC is required for timely communication and response to directives. The EOC Liaison Officer will represent the Agency at the EOC and establish ongoing communications and scheduled status reviews with the Agency Incident Command.





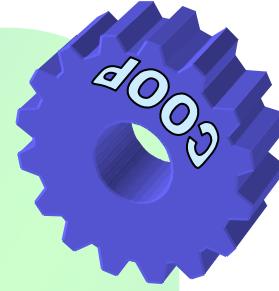
General Session Training





General Session Training

- 1. Planning Assumptions**
- 2. Contingency Strategies**
- 3. Strategy Implementation Plan**
- 4. Strategy Resources**
- 5. Strategy Dependencies**
- 6. Function to Strategy Mapping**
- 7. Execution Process / Triggers**





Planning Assumptions Worksheet

- **This worksheet is intended to capture basic assumptions made in developing your Continuity of Operations strategies for your critical functions and services and/or their vital sub-processes.**
- **Assign the assumptions numbers in rising numeric sequence**
- **Briefly describe your planning assumption**



Planning Assumptions Worksheet

Assumption #	Planning Assumption Description
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	

Add the assumptions your plan will be based upon.



Some Suggested Planning Assumptions

- Staff levels may be significantly impacted due to high levels of illness
 - prepare for 10%, 20%, 30%, 40% or more loss of normal staff
- Remaining workers may be psychologically affected by disease, economic concerns, or fear and require employee assistance
- Staff may be reduced by the need for some workers to attend to family illness or children remaining home due to school closures
- Human resource reductions may be temporary or may be long term depending on the severity of the influenza strain
- Staff may be lost forever due to significant mortality associated with the disease
- These staffing factors may affect suppliers, providers and other business partners, rendering them unable to meet commitments
- We may relocate staff from one location to another



More Suggested Planning Assumptions

- We may ask staff to work above their normal job class
- We may operate on a shift basis, as needed
- Our unions will support our efforts to sustain our mission critical functions and services
- We will suspend the operation of lower priority functions as absentee levels rise to free these staffing resources to support higher priority functions
- We will not be dependent on a single supplier
- We will expect our contracted service providers to develop their own influenza pandemic COOP programs
- For social distancing, optional travel and meetings will be suspended



Strategy Identification Worksheet

- **The Strategy should be a high level description of “what” will be done.**
- **Later tactical implementation steps will be documented to describe the “how”.**
- **List the Short Name for the Strategy**
- **Provide a brief description of the Strategy**



Strategy Identification Worksheet

Strategy ID	Strategy Short Name	Strategy Description
A		
B		
C		
D		
E		
F		Enter "A,B,C" or "1,2,3" that uniquely identifies the strategy
G		
H		
I		

Enter a short name
that uniquely names
the strategy

Briefly describe
the strategy.



Strategy Identification Worksheet Examples

- Diversify supply base
- Certify contracted service provider COOP capability
- Stockpile critical supplies
- Release ambulatory patients
- Work at home
- Backfill using Agency staff
- Backfill using staff from other Agencies
- Backfill using Retirees
- Backfill by hiring Temporary Staff
- Suspend Operation



Strategy Implementation Worksheet

- Break down the Strategy described in the previous worksheet into the steps that need to be taken in order to make the Strategy executable.
- These steps are part of the COOP Preparation Phase activity.
- Enter the Strategy Number from the previous worksheet (Strategy Identification Worksheet).
- Enter the Strategy Short Name from the previous worksheet (Strategy Identification Worksheet)
- Document the individual steps that are necessary to make the Strategy executable.



Strategy Implementation Worksheet

Task #	Strategy ID:	Strategy Short Name:	Implementation Steps
1			
2			From the 2 nd worksheet enter the Strategy ID code.
3			
4			
5			
6			
7			
8			
9			
10			

Enter the Strategy Short Name from the first worksheet

Record the steps you will take to implement this strategy.



Strategy Implementation Worksheet Examples

- Identify staff members **to work from home**
- Get specific address / installation information
- Contact DOIT to arrange “at home” technology
- Seek funding for “at home” technology installation
- Contract for “at home” technology
- Set-up “at home” validation tests for all identified employees



Strategy Resource Worksheet

- Document the resources that you will need for each of the Implementation Steps from the previous worksheet (Strategy Implementation Worksheet).
- Enter the Strategy ID from the first worksheet (Strategy Identification Worksheet).
- Enter the Strategy Short Name from the first worksheet (Strategy Identification Worksheet).
- Document the Supporting Elements necessary for each of the Implementation Tasks for the Strategy.



Strategy Resource Requirements Worksheet

Strategy ID:	Strategy Short Name:	Resource Requirements
Task #		
1		
2		
3		
4		From the 2 nd worksheet enter the Strategy ID code.
5		
6		
7		
8		
9		
10		

Enter the Strategy Short Name from the first worksheet

Identify the resources you will need to implement this strategy.
Remember resources may come from other areas of your Agency, other Agencies, or outside the State Government.



Strategy Resource Worksheet Examples

- Virtual Private Network (VPN) for secured access to the State intranet
- Calling Card for long distance calls from home
- Desktop computer equipment, with printer / fax device
- Additional personnel from other sources
- Additional suppliers



Implementation Dependencies Worksheet

- **Identifies the interactions between other groups within your Agency, other State Agencies, and external organizations (i.e., vendors, other states, Federal Government, etc.)**
- **Enter the Strategy ID from the first worksheet (Strategy Identification Worksheet).**
- **Enter the Strategy Short Name from the first worksheet (Strategy Identification Worksheet).**
- **Document the type of dependency that is required for the strategy implementation tasks to work.**
- **Identify the source or sources of the dependency.**



Implementation Dependencies Worksheet

Strategy ID:	Strategy Short Name:	Dependencies Description	Source(s)
Task #.			
1			
2			
3			
4			
5			
6			

Enter the Strategy Short Name from the first worksheet

From the 2nd worksheet enter the Strategy ID code.

Enter a brief description of the dependencies the strategy is based upon.

Identify the source of the dependency (i.e., another part of your Agency, another Agency, or an outside company or organization).



Implementation Dependencies Worksheet Examples

- “At home” work technologies – DoIT
- Funding approval – OPM
- “Fast Path” Acquisition Procedure – DAS



Strategy to Function / Service Mapping Worksheet

Here each strategy will be mapped to the business functions (processes) / services that are to use this strategy. This may be a long list of functions (processes) / services, or if the strategy is unique to a single function, a list of one.

- Enter the Location this form addresses
- Enter the Division or Section this form addresses
- From your Function / Service and Process documentation developed in previous workshops, enter the Function / Service (or Process if you broke the business function down to that level)
- Enter the Priority for that Business / Service named
- Enter the Rank for that Business / Service named
 - From your Strategy Identification Worksheet, enter the ID (i.e., "A", "B", etc.) for the Primary Strategy. You may include a secondary or even a tertiary strategy. Be sure to indicate which is primary, which is secondary, etc.
- In the last column you may add the Strategy Short Name



Strategy to Function / Service Mapping Worksheet

Location:

Division / Section:

Function / Service (Process)	Priority	Rank	Strategy ID	Strategy Short Name
				Enter the Short Name for the Strategy from the 2nd worksheet
				Enter the Strategy ID code from the first worksheet that will be used for this specific Function / Service or Process.
				Enter the associated priority for the function.
				Enter the function or service or process identified in previous workshops



Execution Process Worksheet

- **Here you will describe the “when” a strategy will be implemented**
- **Triggers are those events that will cause you to execute the strategies outlined in your COOP plan**
- **Identify the potential trigger that will cause you to do something (i.e., excessive absenteeism, Governor activates all plans, etc.)**
- **Enter the business functions / services that are affected**
- **Enter the Strategy Short Name from the first worksheet**



Execution Process Worksheet Examples

- 30 % Absentee Rate / All Priority 4 and 5 Functions and Services /
Strategy ID # / Suspend Operation
- Governor's declaration of a State-wide Health Crisis / List of client facing services of low priority / Strategy ID # / Revert to US Mail for information interchange
- Code Red - Staffing / Any Priority 1 or 2 Function / Strategy ID # /
Backfill from Agency Staff

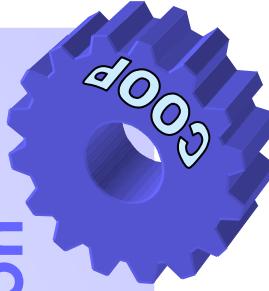


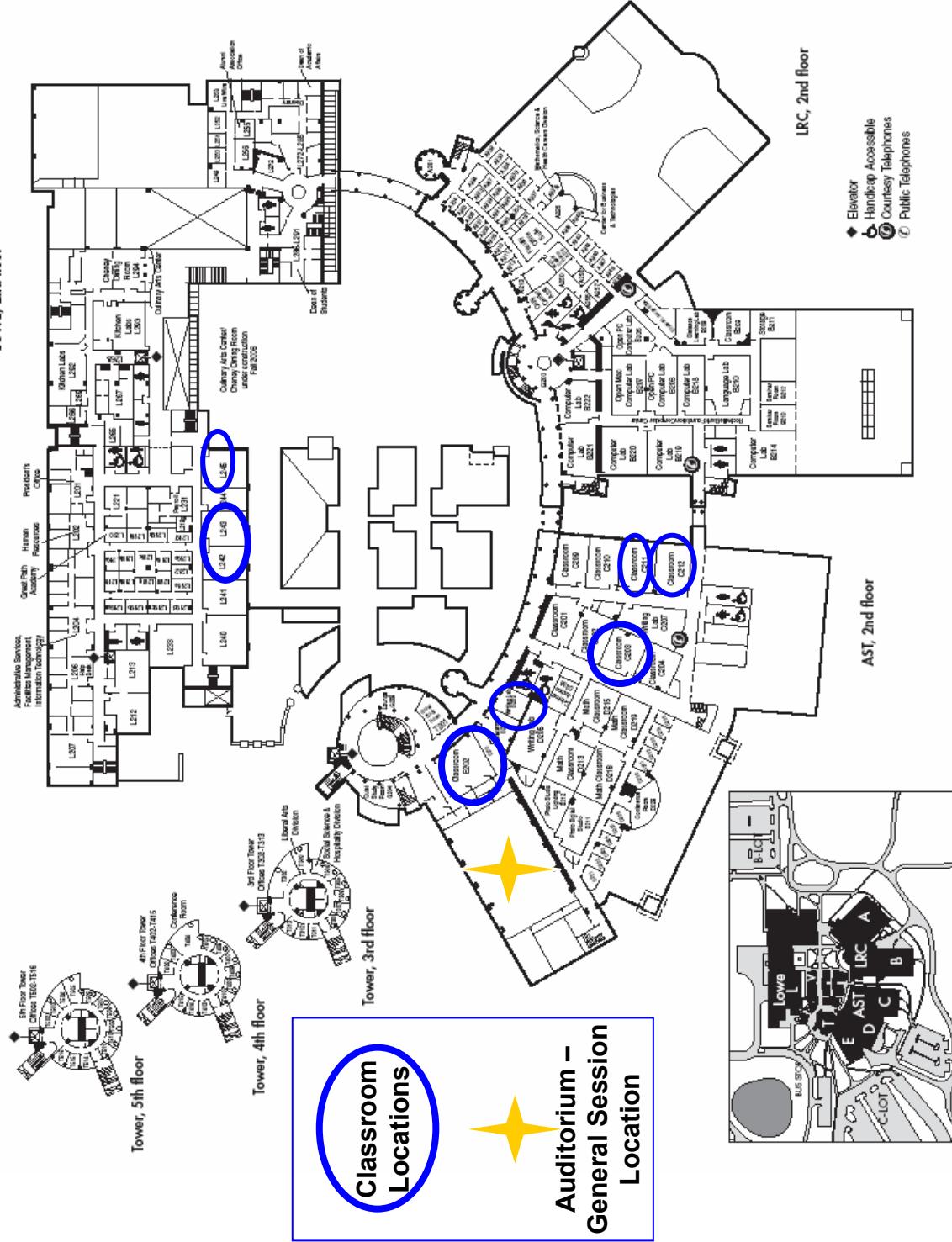
Execution Process Worksheet



Facilitated Group Sessions

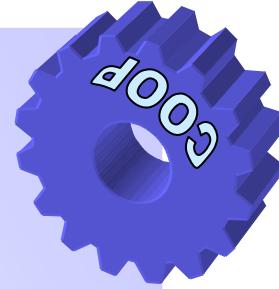
- 1. Assigned Rooms – please see handout**
- 2. If you do not have an assigned room, wait here and we will assign you to one**
- 3. Work out breaks and lunch with your Group Facillitator**
- 4. Return here at 4:00 for Closing Session**







Workshop Wrap-up





General Workshop Questions and Issues

- **When are the forms and template going to be made available?**

- For those that registered, the forms from today's workshop will be emailed to you sometime this week. They will also be posted on the DOIT website.
- The template will be made available sometime next week through the same process.

- **What do we do when we have completed the forms?**

- Instructions will accompany the template providing guidance as to how to incorporate the tables into the template

- **Can I convert the MS-Word document into MS-Excel?**

- Yes, just understand that the template will be provided in MS-Word format.



More Questions and Issues

- **Will there be a roll-up of the Assumptions and Dependencies?**
 - Yes, DAS is working on a process and will provide that shortly.
- **Is there any planning activities going on in the Judicial and Legislative branches?**
 - Yes, representatives have been participating in the COOP workshops
- **Is there going to be a state wide Pandemic plan?**
 - DAS and the Governor's office are working on a combined plan
 - DPH website contains how the state will react and function with the public



Still More Questions and Issues

- **Will there be a place to see and share other Agencies plans?**
 - This is a good idea and being investigated as to how this could be implemented.
- **Will plans be rolled up from Agencies to the State level?**
 - Yes, that is why it is very important for you to complete all your workshop materials and include them in your plans.
- **Will there be a centralized list of contact of contacts?**
 - As part of the Communications section, inter-Agency protocols will be addressed



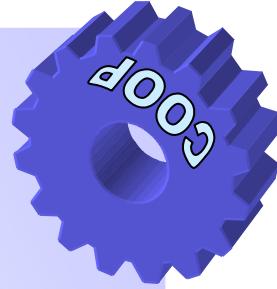
Final Comments

- **Financial impacts are being reviewed and response strategies are being developed**
- **A plan should be a guide and assumes knowledgeable people are executing**



Closing Session

- 1. COOP Planning Template**
- 2. Functional Simulation Exercise**
- 3. Completing the COOP Development Effort**





The COOP Template: Building your Plan, Documenting Your Strategies

Plan Elements:

1. Agency Pandemic Risk Self-Assessment
2. Agency COOP Management Team: Roles and Responsibilities
3. Communications Plan
4. Pandemic Definition, Triggers and Standard Responses
5. Emergency Authorities, Policies and Procedures
6. Functions Performed at this Location
 - Priority 1: Uninterruptible Functions
(RTO < 1 Day)
 - Priority 2: Critical Functions
(RTO ≥ 2 - 5 Days)
 - Priority 3: Ongoing Functions
(RTO ≥ 1 – 2 Weeks)
 - Priority 4: Periodic Functions
(RTO = 2 – 4 Weeks)
 - Priority 5: Occasional Functions
(RTO > 1 month)
7. Continuity Advance Preparations
8. Pandemic Response Strategies
 - Pandemic Levels 1-4
 - Pandemic Level 5
 - Pandemic Level 6
9. Staff Skills Matrix
10. Business Partner Dependencies
11. Consolidated Staff Contact List
12. Appendices
 - (including Glossary)





You are to use the COOP template to complete your plan.

1. In mid-January, all Planning Section Chiefs will be issued an MS/Word document that is designed to contain all the documents you have been trained to develop during this Influenza Pandemic COOP Training program
2. Instructions on document placement will also be provided

Note: Agencies with existing Business Continuity Plans (BCPs) will be given instructions on inserting COOP documents into the BCP.

3. Each Agency Incident Management Team (IMT) member with COOP Plan Development assignments is to provide completed documents to the agency Planning Section Chief for incorporation in the COOP document
4. The EOC (DEMHS) and the Influenza Pandemic Core Team (DAS, DoIT, DPH, DEMHS) will be issuing a standard COOP <-> EOC Communication Plan for each Agency to insert in the Plan, along with any actions or preparations to be taken by the Agency IMT
5. State-wide COOP Emergency Authorities, Policies and Procedures will be announced and published to the Influenza Pandemic website as they are formally established. Each Agency may reference these in their individual COOP Plan as they apply to Agency planning assumptions and COOP continuity strategies



The COOP template standardizes influenza pandemic preparation and response throughout the State.

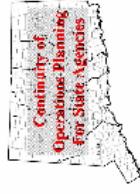
ALL AGENCIES are to have:

- 1. An Incident Management Team**
- 2. A defined Influenza Pandemic COOP mission**
- 3. Identified functions / services and processes with:**
 - Assigned Priorities and Ranks**
 - Documented Resource Requirements**
 - Contingency Strategies, as applicable**
 - An Implementation Plan for these Strategies**
- 4. A Communication Plan to report:**
 - Absentee Rates**
 - Status of its Functions / Services and Processes**
 - Need for Assistance**
 - Assistance it may Offer**
- 5. Certification by the IMT and Agency Head to the Governor that the Agency's Influenza Pandemic COOP will enable the Agency to Sustain its Mission Critical Services to the Public**



State of Connecticut - AGENCY NAME _____

Influenza Pandemic Continuity of Operations Plan



AGENCY Location

Influenza Pandemic Continuity of Operations Plan

Date _____

Version _____



Revision Date: 1/4/2007 Influenza Pandemic Continuity of Operations Plan Page 1 of 19

State of Connecticut - AGENCY NAME _____

Influenza Pandemic Continuity of Operations Plan

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The COOP template includes standard Plan Chapters

Chapter 1: Plan Overview

- Agency COOP Mission

Chapter 2: COOP Incident Management Team (IMT)

- Chart of Organization
- Roles and Responsibilities
- Command Support Team Sections (Agency Wide)

Blue Text = Provided by
COOP Core Team / EOC

Chapter 3: COOP Communication Plan

- Agency Specific Communications

Chapter 4: Connecticut Influenza Pandemic Standards

- Level Definitions
- Triggers and Standard Responses
- Emergency Authorities, Policies and Procedures

Chapter 5+: Agency Functions / Services and Processes (MULTIPLE CHAPTERS)

- One per Section Team (Operations or Administration)
- Function Tables by Rank within Priority, Staff Resource / Skills Matrix, Other Dependencies, Continuity Strategy Code(s) / Short Names
- Continuity Strategies
- Strategy Implementation Plan
- Strategy Execution Process / Triggers

Appendices -

- A. Combined Staff Contact List
- B. Agency Business Partner Contact List
- C. Agency Risk Self-Assessment
- D. Glossary of Terms
- E. Others – as applicable



Session #3 COOP Development Assignment templates will be issued to the Planning Section Chiefs this week.

Command Support Staff Templates / Instructions (as needed)

- *EOC Liaison Officer*
- *Finance Officer*
- *Human Resources Officer*
- *Public Information Officer*
- *Safety Officer*
- *Security Officer*

Combined Staff Contact List (Appendix A) Template

- **For the Human Resources Officer**
- **Will include both staff contact information and skill (e.g., degrees, certifications, licenses, job training completed, etc.)**



Planning for this full-day simulation is in progress.

SAVE the DATE: February 28, 2007

The Influenza Pandemic Core Team / EOC will issue:

- **Instructions for Agency participation in this exercise (e.g., participants, reporting capability required, time frames, feedback process, etc.)**
- **COOP Communication Plan and requests for Agency contact information (e.g., permanent, dedicated COOP Command Post telephone, fax and email)**
- **Debriefing report with accomplishments and corrective actions needed**



Submit your completed COOP templates for placement in the Connecticut Influenza Pandemic COOP repository.

1. **Receive COOP Template and Session #4 COOP Development Assignments**
January 17
2. **Complete all Session #1 – #4 COOP Plan Development Assignments**
3. **Incorporate these in the COOP Template**
4. **Incorporate COOP Sections Provided by the COOP Core Team / EOC**
5. **Submit Plans to the COOP Repository ("Peggy Zabawar" <peggy.zabawar@ct.gov)**
February 14 – 16
6. **Prepare for and Participate in the Influenza Pandemic Simulation Exercise**
February 28
7. **Revise COOP document, as needed**



Functional Simulation Exercise: Practicing Together, Identifying Needed Improvements

Areas Covered:

1. Reporting staff Absenteeism Levels
2. Reporting Priority 1 & 2 Status
3. Receiving EOC and Governor's Office Requests and Instructions
4. Suspending Functions
5. Making Public Statements
6. Addressing Staff Issues
7. Reallocating Resources
8. Approaching Suppliers / Providers
9. Responding to evolving Situations
10. Seeking Emergency Authorities
11. Using Emergency Procedures
12. Supporting other Agencies

Products:

Debriefing Report with Observations and Recommendations for the COOP Inter-Agency Project Team

COOP Development

Assignment:

1. Revise the COOP Plans (all Agencies, as needed)
2. Update the Work Plan to include Improvements needed (all Agencies, as appropriate)
3. Report Progress, Issues and Requests to the COOP Inter-Agency Project

Participants:

1. Agency COOP Incident Command (**@ Agency Command Centers**)
2. Emergency Operations Center Staff and Agency EOC Liasons (**@EOC**)





Communication Considerations

- **Two types**
 - Inbound, external triggers and events
 - Governor has declared a civil state of preparedness
 - WHO has issued a level 6 alert
 - Another Agency has declared an emergency and requesting assistance
 - Outbound, internal status and activities
 - Absenteeism
 - Supplier Failure
 - Service Provider Failure



Inbound Communications

Inter-pandemic phase	New virus in animals, no human cases	Low risk of human cases	1
Pandemic alert	New virus causes human cases	Higher risk of human cases	2
		No or very limited human-to-human transmission	3
		Evidence of increased human-to-human transmission	4
		Evidence of significant human-to-human transmission	5
		Efficient and sustained human-to-human transmission	6



Level 0 Be Aware *Corresponding to no higher than a WHO phase 3*

- Prepare relevant statewide policies to address leave and AWS
- Encourage employees to build up sick leave accruals ICE
- Distribute awareness materials
- Create and test accuracy of telephone and email lists for emergency communications
- Test emergency communication methods (broadcast voice mail, mass emails, etc.)
- Equip key employees with alternate means of emergency communication
- Coordinate ways for employees to reach key electronic information off-site procedures
- Teach and support generally agreed upon infection control



Level 0 Be Aware - Continued *Corresponding to no higher than a WHO phase 3*

- Distribute personal preparedness information
- Engage in CONTINUITY OF OPERATIONS planning
- Rehearse CONTINUITY OF OPERATIONS plans
- Rehearse turning over succession within agencies
- Make and test necessary preparations for employees who may move from agency to agency that they can log-in to computer networks, access voice mail, and so forth
- Review emergency powers that can be invoked in emergency
- Advise all state employees of where to access emergency broadcast or posted information on the status of reporting to work



Level 1 Prepare for Outbreak

Corresponding to WHO phase 4 or higher when confirmed human-to-human transmission possible in Connecticut.

- Practice social distancing among employees
- Erect “ticket windows” and other appropriate barriers for public interactions
- Send any employees suspected of illness home immediately
- Cancel or curtail face-to-face meetings in favor of other communication methods
- Rehearse CONTINUITY OF OPERATIONS plans
- Rehearse infection control activities and methods
- Post/replace instructional and educational materials in common areas



Level 2 Pandemic has been declared WHO 5 or higher

- **Announce closing and close all unnecessary offices where the public gathers and where they meet with state workers**
- **Reinforce infection control procedures**
- **Clearly announce the level of the state of emergency**
- **Invoke emergency powers**
- **Invoke OLR/DAS guidelines on the use of leave during health emergency**
- **Announce alternate means that public may use to receive state services**
- **Announce any deadlines that are suspended during public health emergency that once required a “show up” at a state office (e.g., trades licenses, D.L. renewal)**
- **Agencies encourage practice of AWS or other ways of thinning workforce to reduce possibility of infections**
- **Agencies report all flu illnesses or suspected illnesses to central state clearinghouse for tracking and monitoring**



Level 3 Active infections are reported in the workplace Who Level 6

- Agencies continue reporting of all flu illnesses or suspected illnesses to central state clearinghouse for tracking and monitoring
- Announce that active infections are reported among state employees
- Announce who will report to which duty stations on basis of CONTINUITY OF OPERATIONS plans
- Announce where up-to-date workplace status information can be gleaned for various agencies
- Implement CONTINUITY OF OPERATIONS plans for lines of succession as necessary
- Implement CONTINUITY OF OPERATIONS plans for staffing and maintenance of essential (RTO) state services



Level 3 Active infections are reported in the workplace Who Level 6 (Continued)

- Break out any approved PPE devices (e.g., mask) that are recommended for use in the workplace
- Await public health pronouncements on the status of infections and “waves” of infections
- Implement higher level workplace cleaning and infection control activities
- Release employees as necessary to practice social distancing as required to remain healthy during pandemic
- Share employees with common knowledge as is practicable such as payroll and purchasing clerks familiar with CoreCT processing



Recovery Bring services back on line as staffing and resources become available and when public health officials have deemed this to be safe

- Agencies report RTW of employees who were ill or caring for the ill
- Review CONTINUITY OF OPERATIONS plan procedures for failures



General Session Training

Completing the COOP Development Effort

**Dr. Martin Anderson, DAS
Chair, COOP Planning Subcommittee,
Pandemic Influenza Strategic Planning Group**

